

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re

U.S. application: Koujirou SEKINE, Mitsuru YOKOYAMA,
Miyuki TERAMOTO, Kyu TAKADA, Takuji
HATANO, Shinji MARUYAMA, and Tsuyoshi
IWAMOTO

For: OPTICAL FUNCTIONAL DEVICE AND OPTICAL
INTEGRATED DEVICE

U.S. Serial No.: To Be Assigned

Filed: Concurrently

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Examiner: To Be Assigned

BOX PATENT APPLICATION

Assistant Director

for Patents

Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

In compliance with the duty of disclosure set forth in
37 C.F.R. § 1.56, Applicants wish to bring the following items to
the attention of the Examiner. Copies of the documents are
enclosed for the convenience of the Examiner.

No representation is made, and no representation is
intended, that more relevant material does not exist, or that the
order of presentation of this material in any way reflects its
relative pertinence. The references cited below are not intended
to constitute an admission of any kind. Specifically, this
presentation is not an admission that the items listed below are
properly citable against the above-identified application.



- (1) Ho et al., U.S. Patent No. 5,335,240, issued August 2, 1994;
- (2) Ozbay et al., U.S. Patent No. 5,406,573, issued April 11, 1995;
- (3) Meade et al., U.S. Patent No. 5,526,449, issued June 11, 1996;
- (4) Jasper, Jr. et al., U.S. Patent No. 5,739,796, issued April 14, 1998;
- (5) Scalora et al., U.S. Patent No. 5,740,287, issued April 14, 1998;
- (6) Joannopoulos et al., U.S. Patent No. 5,784,400, issued July 21, 1998;
- (7) Koops et al., U.S. Patent No. 5,973,823, issued October 26, 1999;
- (8) Grüning et al., U.S. Patent No. 5,987,208, issued November 16, 1999;
- (9) Brown et al., U.S. Patent No. 5,990,850, issued November 23, 1999;
- (10) Fleming et al., U.S. Patent No. 5,998,298, issued December 7, 1999;
- (11) Nelson et al., U.S. Patent No. 5,999,308, issued December 7, 1999;
- (12) Todorí et al., U.S. Patent No. 6,002,522, issued December 14, 1999;
- (13) Fork et al., U.S. Patent No. 6,028,693, issued February 22, 2000;
- (14) Joannopoulos et al., U.S. Patent No. 6,058,127, issued May 2, 2000;


(15) Koops, U.S. Patent No. 6,064,506, issued May 16, 2000;
and

(16) Koops et al., U.S. Patent No. 6,075,915, issued June
13, 2000.

Applicants consider the invention to be distinguishable
over the above-cited documents.

As this Information Disclosure Statement is being filed
concurrently with the application, no fee is incurred. However,
if it should be determined that a fee is required, please charge
any required fee (other than the issue fee) during the pendency
of this application to Sidley & Austin's Deposit Account No. 18-
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Respectfully submitted,



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